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United Nations

Regulations and Rules Governing Programme Planning, the Programme Aspects of the Budget, the Monitoring of Implementation and the Methods of Evaluation

Secretary-General's bulletin

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1. The Secretary-General hereby promulgates a revised edition of the Regulations and Rules Governing Programme Planning, the Programme Aspects of the Budget, the Monitoring of Implementation and the Methods of Evaluation.

2. The Regulations were first adopted by the General Assembly in its resolution 37/234 of 21 December 1982, and were revised by resolution 42/215 of 21 December 1987. By its resolution 53/207 of 18 December 1998, the Assembly adopted the latest revisions to the Regulations. The Regulations provide the legislative directives established by the Assembly governing the planning, programming, monitoring and evaluation of all activities undertaken by the United Nations, irrespective of their source of financing.

3. The Rules were first issued pursuant to General Assembly resolutions 37/234 and 38/227 A of 20 December 1983, in implementation of the Regulations. The Rules govern the planning, programming, monitoring and evaluation of United Nations activities, except as may otherwise be provided by the Assembly or specifically exempted by the Secretary-General. By its resolution 53/207, the Assembly requested the Secretary-General to bring to its attention, through the Committee for Programme and Coordination, revisions to the relevant Rules before promulgation. The Rules in the present revised edition are issued pursuant to that resolution, as well as to Assembly resolution 54/236 of 23 December 1999 and its decision 54/474 of 7 April 2000.

4. In the revised edition the articles of the Regulations precede the corresponding Rules. The new text is effective as from 1 May 2000.

5. The present bulletin supersedes Secretary-General's bulletin of March 1987 entitled "Regulations Governing Programme Planning, the Programme Aspects of the Budget, the Monitoring of Implementation and the Methods of Evaluation" (ST/SGB/PPBME Rules/1 (1987)).

(*Signed*) Kofi A. **Annan**
Secretary-General

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Preamble

1. The planning, programming, budgeting, monitoring and evaluation cycle established by the United Nations through resolutions and decisions of the General Assembly aims at the following:

(a) To subject all programmes of the Organization to periodic and thorough reviews;

(b) To afford an opportunity for reflection before choices among the various types of action possible are made in the light of all existing conditions;

(c) To associate in that reflection all participants in the Organization's actions, especially Member States and the Secretariat;

(d) To assess what is feasible and derive from this assessment objectives that are both feasible and politically acceptable to Member States as a whole;

(e) To translate those objectives into programmes and work plans in which the responsibilities and tasks of those who are to implement them are specified;

(f) To indicate to Member States the resources needed to design and implement activities and to ensure that those resources are utilized according to legislative intent and in the most effective and economical manner;

(g) To provide a framework for setting priorities among activities;

(h) To establish an independent and effective system for monitoring implementation and verifying the effectiveness of the work actually done;

(i) To evaluate periodically the results achieved, with a view either to confirming the validity of the orientations chosen or to reshaping the programmes towards different orientations.

2. In pursuance of the above aims, the following instruments are to be utilized in the Organization:

(a) The introduction to the medium-term plan and the medium-term plan itself, whereby orientations are given to the Organization's activities;

(b) The programme budget and the programme performance report, in which the Secretariat is committed to precise work plans involving delivery of output and where implementation thereof is monitored and reported;

(c) The evaluation system, which allows for continuing critical review of achievements, collective thinking thereon and formulation of subsequent plans.

Article I
Applicability

Regulation 1.1

The present Regulations shall govern the planning, programming, monitoring and evaluation of all activities undertaken by the United Nations, irrespective of their source of financing.

Rule 101.1

(a) The present Rules are promulgated in implementation of the provisions of the Regulations Governing Programme Planning, the Programme Aspects of the Budget, the Monitoring of Implementation and the Methods of Evaluation. They shall govern the planning, programming, monitoring and evaluation of United Nations activities, except as may otherwise be provided by the General Assembly or specifically exempted by the Secretary-General. Such cases will be brought to the attention of the General Assembly. The Steering Committee on Reform and Management, on behalf of the Secretary-General, shall be responsible for overseeing the application of these Rules.

(b) Planning for activities to be partially or fully financed by extrabudgetary funds shall be provisional, and such activities will be implemented only if adequate funds are made available.

(c) Due consideration shall be given in the planning, programming, monitoring and evaluation process to the specific nature of the varied activities of the Organization, some of which may arise from events that cannot be foreseen or planned, bearing in mind, in particular, the responsibilities of the Security Council under the Charter of the United Nations.

Article II
Instruments of integrated management

Regulation 2.1

Activities undertaken by the United Nations shall be submitted to an integrated management process reflected in the following instruments:

(a) Medium-term plans;

(b) Programme budgets;

(c) Reports on programme performance;

(d) Evaluation reports.

Each of these instruments corresponds to one phase in the programme-planning cycle and, consequently, shall serve as a framework for the subsequent phases.

Regulation 2.2

The planning, programming, budgeting and evaluation cycle shall form an integral part of the general policy-making and management process of the Organization. The instruments referred to in regulation 2.1 shall be used to ensure that activities are coordinated and that the available resources are utilized according to legislative intent and in the most effective and economical manner.

Article III
Planning, programming and budgeting process

Regulation 3.1
Planning, programming and budgeting process

1. The planning, programming and budgeting process shall be governed, *inter alia*, by the following principles:

(a) Strict adherence to the principles and provisions of the Charter of the United Nations, in particular Articles 17 and 18 thereof;

(b) Full respect for the prerogatives of the principal organs of the United Nations with respect to the planning, programming and budgeting process;

(c) Full respect for the authority and the prerogatives of the Secretary-General as the Chief Administrative Officer of the Organization;

(d) Recognition of the need for Member States to participate in the preparation of the budget at the early stages and throughout the process.

2. The process for the formulation of the medium-term plan shall include:

(a) Full implementation of the present regulations as they pertain to the medium-term plan;

(b) Consultations in a systematic way regarding the programmes in the plan with sectoral, technical, regional and central bodies of the United Nations;

(c) Drawing up by the Secretary-General, in consultation with the Committee for Programme and Coordination and the Advisory Committee on Administrative and Budgetary Questions, of a calendar for such consultations.

Regulation 3.2
Budget process

A. Off-budget years

1. The Secretary-General shall submit an outline of the programme budget for the following biennium, which shall contain an indication of the following:

(a) A preliminary estimate of the resources required to accommodate the proposed programme of activities during the biennium;

(b) Priorities, reflecting general trends of a broad sectoral nature;

(c) Real growth, positive or negative, compared with the previous budget;

(d) The size of the contingency fund expressed as a percentage of the overall level of resources.

2. The Committee for Programme and Coordination, acting as a subsidiary organ of the General Assembly, shall consider the outline of the programme budget and submit its conclusions and recommendations to the Assembly through its Fifth Committee.

3. On the basis of a decision by the General Assembly, the Secretary-General shall prepare his proposed programme budget for the following biennium.

4. Throughout this process, the mandate and functions of the Advisory Committee on Administrative and Budgetary Questions shall be fully respected. The Advisory Committee shall consider the outline of the programme budget in accordance with its terms of reference.

B. Budget years

5. The Secretary-General shall submit his proposed programme budget to the Committee for Programme and Coordination and the Advisory Committee on Administrative and Budgetary Questions in accordance with existing procedures.

6. The Committee for Programme and Coordination and the Advisory Committee on Administrative and Budgetary Questions shall examine the proposed programme budget in accordance with their respective mandates and shall submit their conclusions and recommendations to the General Assembly, through its Fifth Committee, for final approval of the programme budget.

7. The programme budget shall include expenditures related to political activities of a perennial character whose mandates are renewed annually, together with their related conference costs.

Rule 103.1

An outline of the proposed programme budget shall be submitted to the General Assembly by 15 August of the off-budget year.

Article IV
Medium-term plan

Regulation 4.1

A medium-term plan shall be proposed by the Secretary-General.

Rule 104.1

(a) Instructions shall be issued in accordance with the present Regulations and Rules for the formulation of the medium-term plan proposals. Heads of departments and offices (as defined in financial rule 101.2 (c)) shall submit to the Secretary-General proposals for the programmes falling within their

area(s) of competence, in such detail, at such time and through such channels as the Secretary-General may require.

(b) The Secretary-General shall establish a timetable in order to guarantee the submission of the proposed medium-term plan and its revisions to the Committee for Programme and Coordination, in accordance with the six-week documentation rule, and to the Advisory Committee on Administrative and Budgetary Questions no later than the end of April of the year preceding the budgetary period.

Regulation 4.2

The medium-term plan shall be a translation of legislative mandates into programmes and subprogrammes. Its objectives and strategies shall be derived from the policy orientations and goals set by the intergovernmental organs. It shall clearly reflect Member States' priorities as set out in legislation adopted by functional and regional intergovernmental bodies within their spheres of competence and by the General Assembly, on advice from the Committee for Programme and Coordination.

Rule 104.2

(a) Requests and directives to the Secretary-General contained in resolutions or decisions of relevant intergovernmental organs constitute legislative mandates for proposed activities. Legislation establishing an organizational unit or providing the general mandate for work in an area should not be cited unless it is the only mandate for the activities proposed.

(b) Only United Nations intergovernmental organs are competent to provide a legislative mandate. Decisions or conclusions of intergovernmental organs that are not organs of the United Nations may become a mandate after they are endorsed by an intergovernmental organ of the United Nations.

(c) Unless it mandates continuing functions of the Organization, a legislative mandate adopted more than five years before the medium-term plan review should be accompanied by an explanation justifying its retention as a mandate.

(d) New activities that may be proposed by the Secretary-General in fulfilment of the general objectives of the Organization shall be given a legislative mandate through the adoption of the medium-term plan by the General Assembly.

Regulation 4.3

The medium-term plan shall serve as a framework for the formulation of biennial programme budgets within the period covered by the plan.

Regulation 4.4

The medium-term plan shall cover all activities, both substantive and servicing, including those to be financed partially or fully from extrabudgetary resources.

Rule 104.3

Medium-term plan proposals shall be submitted to the General Assembly through the Committee for Programme and Coordination and the Advisory Committee on Administrative and Budgetary Questions.

Regulation 4.5

The medium-term plan shall be presented by programme and subprogramme. There shall be congruence, to the extent possible, of the programmatic and organizational structure of the Secretariat. Each programme shall contain a narrative identifying the mandates that provide overall direction for the programme. Each subprogramme shall contain a narrative, which should reflect all mandated activities and identify objectives and accomplishments to be achieved during the plan period.

Rule 104.4

(a) Each programme of the plan shall be presented in a separate chapter and shall contain subprogrammes where appropriate.

(b) The subprogramme structure of the medium-term plan shall determine the subprogramme structure of the programme budgets for the biennium.

(c) The subprogramme structure shall, to the extent possible, correspond to an organizational unit, normally at the divisional level. The General Assembly may modify the subprogramme structure of the programme budget when it adopts the programme budget.

(d) For substantive activities:

(i) Each programme shall contain an introductory narrative describing the relationship of planned activities to the overall strategy reflected in the decisions of the General Assembly for the medium-term period and the rationale for selecting the objectives and the subprogrammes intended to attain them. Such an analysis should take into account the situation in the sector in question, the problems that had been identified and the progress made by the international community towards solving those problems. The narrative shall describe the actions expected from both Member States and international organizations, as well as the linkages with other programmes;

(ii) The subprogramme shall be the main unit of analysis, review and evaluation in the United Nations planning and programming system.

Regulation 4.6

The medium-term plan shall include an introduction, which will constitute a key integral element of the planning process. The introduction shall be derived from legislative mandates set by intergovernmental organs, shall identify future challenges and shall:

(a) Highlight in a coordinated manner the policy orientation of the United Nations;

(b) Indicate the medium-term objectives and strategy and the trends deduced from mandates that reflect priorities set by intergovernmental organs as well as future challenges;

(c) Contain the Secretary-General's proposals on priorities.

Regulation 4.7

The medium-term plan shall cover a four-year period and shall be submitted to the General Assembly one year before the submission of the proposed programme budget covering the first biennium of the plan period.

Regulation 4.8

The programmes and subprogrammes of the proposed medium-term plan shall be reviewed by the relevant sectoral, functional and regional intergovernmental bodies, if possible during the regular cycle of their meetings, prior to their review by the Committee for Programme and Coordination, the Economic and Social Council and the General Assembly. The Committee for Programme and Coordination and the Advisory Committee on Administrative and Budgetary Questions shall consider the proposed medium-term plan in accordance with their terms of reference.

Rule 104.5

(a) Programme managers shall prepare, in conformity with the present Regulations and Rules and the instructions issued by the Secretary-General, and under the policy guidance of the heads of departments and offices, a draft of their portions of the medium-term plan.

(b) Programme managers shall draft their portions of the plan in time for them to be reviewed by the organs referred to in regulations 4.8 and 4.9.

(c) When those organs are considering the proposed plan, the Secretariat shall draw their attention to the provisions of the present Regulations and Rules.

(d) After this review has been completed, programme managers shall send the following documents to the Office of Programme Planning, Budget and Accounts:

(i) The draft plan as presented to the relevant body;

(ii) That part of the report of the body covering its review of the draft plan and its recommendations for changes;

(iii) The redrafted plan reflecting those recommendations where appropriate.

(e) When the above-mentioned documents have been received, the narratives of the programmes and subprogrammes will be adjusted to incorporate changes needed to ensure coherence, improve coordination and avoid overlap. The formulation of the proposed medium-term plan shall be supervised by the Steering Committee on Reform and Management.

(f) The proposed plan will then be issued in fascicles as a General Assembly document. Only the proposed plan of the Secretary-General will be made available to the Committee for Programme and Coordination, the Economic and Social Council and the General Assembly.

(g) The plan, as approved by the General Assembly, will be printed as a single document.

Regulation 4.9

The participation of sectoral, functional and regional organs in the formulation of the medium-term plan shall be achieved by means of an appropriate preparation period. To that end, the Secretary-General shall provide proposals for the coordination of their calendars of meetings. The activities in the medium-term plan shall be coordinated with those of the concerned specialized agencies through prior consultations.

Rule 104.6

The Secretary-General shall take appropriate measures to submit proposals to the sectoral, functional and regional bodies to enable them to review the relevant portions of the medium-term plan or its revisions with a view to facilitating their consideration by the Committee for Programme and Coordination and the General Assembly.

Regulation 4.10

The General Assembly shall consider the proposed medium-term plan in the light of the comments and recommendations of the Economic and Social Council, the Committee for Programme and Coordination and the Advisory Committee on Administrative and Budgetary Questions. The Assembly shall decide to accept, curtail, reformulate or reject each of the subprogrammes proposed in the plan.

Regulation 4.11

After its adoption by the General Assembly, the medium-term plan shall constitute the principal policy directive of the United Nations, which:

(a) States the medium-term objectives to be attained in the plan period;

(b) Describes the strategy to be followed to that effect and the means of action to be used.

Rule 104.7

In the subprogrammes of the proposed medium-term plan:

(a) Objectives for Secretariat action shall be, to the greatest extent possible, concrete and time-limited; achievement of the objectives should be verifiable either directly or through evaluation. Indicators of achievement should be given where possible;

(b) When an objective for Secretariat action cannot be achieved by the end of the plan period, both this longer-term objective and more specific objective(s) to be achieved within the plan period shall be set;

(c) The strategy for the subprogrammes shall describe the course of action, the type of activities to be carried out (research, technical assistance, support of negotiations, etc.) and the programme framework within which the budget will be prepared, which can be expected to result in the fulfilment of the objectives set;

(d) The strategy shall briefly describe the situation that is expected to have been reached at the beginning of the plan period and the approach that will be taken during the plan period to achieve the objective;

(e) The objectives and strategy shall encompass all activities proposed within a subprogramme.

Regulation 4.12

Sectoral, functional and regional programme-formulating organs shall refrain from undertaking new activities that are not programmed in the medium-term plan unless a pressing need of an unforeseeable nature arises, as determined by the General Assembly.

Regulation 4.13

The medium-term plan shall be revised as necessary every two years to incorporate required programme changes; revisions to the plan shall be considered by the General Assembly one year before the submission of the proposed programme budget providing for implementation of the changes. The proposed revisions shall be as detailed as necessary to incorporate the programme implications of the resolutions and decisions adopted by intergovernmental organs and international conferences since the adoption of the plan.

Rule 104.8

(a) Revisions to the medium-term plan are required, *inter alia*:

(i) When intergovernmental mandates adopted after the adoption of the plan call for new or substantially modified programmes and subprogrammes or any other revisions that should be properly identified;

(ii) When the programme mandates in the opinion of the Secretary-General have become obsolete;

(iii) When the Secretary-General deems it necessary to propose new activities at the subprogramme level not covered by existing legislative mandates.

(b) Substantive revisions shall be those which propose a change in the objective(s) or the strategy of the programme or subprogramme.

Regulation 4.14

The establishment of priorities among both substantive programmes and common services shall form an integral part of the general planning and management process without prejudice to arrangements and procedures now in force or to the specific character of servicing activities. Such priorities shall be based on the importance of the objective to Member States, the Organization's capacity to achieve it and the real effectiveness and usefulness of the results.

Regulation 4.15

Specialized intergovernmental and expert bodies, when reviewing the relevant programmes of the medium-term plan within their sphere of competence, shall refrain from establishing priorities that are not consistent with the overall priorities established in the medium-term plan.

Regulation 4.16

The priorities, as determined by the General Assembly, established in the medium-term plan shall guide the allocation of budgetary and extrabudgetary resources in the subsequent programme budgets. After the medium-term plan has been adopted by the Assembly, the Secretary-General shall bring the decisions on priorities to the attention of Member States and the governing boards of the voluntary funds.

Rule 104.9

The allocation of resources proposed by the Secretary-General in the subsequent programme budgets shall be made in accordance with regulations 3.2 and 5.1 to 5.9.

Article V
Programme aspects of the budget

Regulation 5.1

The medium-term plan, as approved and revised by the General Assembly, shall serve as the framework for the formulation of the biennial programme budget. In order to facilitate this relationship, the programme budget shall have

financial information at the programme and subprogramme levels.

Rule 105.1

As provided in rule 104.4 (b), the subprogramme structure of the programme budget shall be identical to that of the medium-term plan unless a change in the subprogramme structure has been authorized by a subsequent legislative mandate. The financial data provided in the proposed programme budget shall be linked to the medium-term plan at the programme and subprogramme levels. At the subprogramme level, estimates of the required resources, expressed as a percentage of the programme resources, shall be provided.

Regulation 5.2

The programme proposals set out in the budget shall aim at achieving the objectives established in the medium-term plan. Programme proposals that are not derived from the objectives of the plan shall be submitted only as a result of legislation passed subsequent to the adoption of the plan or its latest revision.

Rule 105.2

No activity or output shall be included in the proposed programme budget unless it is clearly in implementation of the medium-term plan strategy and likely to help to achieve the plan objectives, or it is in implementation of legislation passed subsequent to the approval or revision of the plan.

Regulation 5.3

In the proposed programme budget, the requested resources shall be justified in terms of the requirements of output delivery.

Rule 105.3

For all activities, programme budget submissions provided to the Secretary-General will include, at the appropriate level of detail, data on the resources required, such as requirements for posts, travel, consultants and other relevant objects of expenditure. These data will be used in internal budget formulation procedures as a basis for programme budget proposals. The programme narrative describing servicing activities shall include, wherever possible, quantitative indicators measuring the services rendered and showing any expected change in productivity during the biennium.

Regulation 5.4

The proposed programme budget shall be divided into parts, sections and programmes. Programme narratives shall set out subprogrammes, outputs, objectives and accomplishments expected during the biennium. The proposed programme budget shall be preceded by a statement explaining the main changes made in the content of the programme and the volume of resources allocated to it in relation to the previous biennium. The proposed programme budget shall be accompanied by such information, annexes and explanatory statements as may be requested by or on behalf of the General Assembly and such further annexes or statements as the Secretary-General may deem necessary and useful.

Rule 105.4

(a) The programme narratives for all activities shall conform to the following standards:

(i) All final outputs included in the proposed programme budget shall clearly contribute to the achievement of a subprogramme objective identified in the medium-term plan;

(ii) Output descriptions shall conform to the following standard categories of final output:

a. Servicing of intergovernmental and expert bodies, including reports thereto;

b. Other substantive activities;

c. International cooperation and inter-agency coordination and liaison;

d. Conference services;

e. Technical cooperation;

f. Administrative support services;

(iii) Expected accomplishments shall be formulated for each subprogramme and shall identify those benefits or changes expected to accrue to users or beneficiaries through the

delivery of final outputs. Expected accomplishments shall be in conformity with and lead to the fulfilment of the objectives established in the programmes and subprogrammes. Expected accomplishments shall be expressed in terms that will facilitate the subsequent determination of whether the expectations have been met. Expected accomplishments shall be objective, feasible and pertinent to the nature of and the work carried out by each subprogramme.

(b) The programme narratives for servicing activities shall identify the services to be delivered by nature and quantity. Wherever possible, standard categories of services shall be established.

Regulation 5.5

All activities for which resources are requested in the proposed programme budget shall be programmed.

Rule 105.5

All activities, whether financed from regular budget or extrabudgetary resources, shall be programmed in the sense that:

(a) Output descriptions as stipulated under rule 105.4 shall apply, irrespective of the resources used for producing the output;

(b) Financial information as stipulated under rule 105.3 shall be provided in internal budget formulation data for both categories of funds.

Regulation 5.6

Within the proposed programme budget, the Secretary-General shall submit to the General Assembly, with justification, a list of outputs included in the previous budgetary period which, in the judgement of the Secretary-General, can be discontinued and which, as a consequence, have not been included in the proposed programme budget.

Rule 105.6

In their budgetary submissions, heads of departments and offices shall provide the Secretary-General with a list of outputs and activities required by legislation or approved in a previous budgetary period that have not been included in the proposed programme budget because they are considered obsolete, of marginal usefulness or ineffective, and that therefore could be proposed for termination by the General Assembly. The determination of such outputs shall be made by applying, *inter alia*, the following criteria:

(a) Outputs and activities derived from mandates that are at least five years old, unless a relevant intergovernmental body has reaffirmed the continuing validity of the mandate;

(b) Outputs and activities whose legislative basis has been superseded by new mandates;

(c) Outputs and activities that were programmed as new outputs in the budget for the previous biennium but that were not implemented in that biennium; if such outputs are to be included in the budget, justification must be provided;

(d) Outputs and activities that, during the in-depth evaluation of a programme by the Committee for Programme and Coordination or a review of the programme by the relevant functional or regional intergovernmental organ, were found to be obsolete, of marginal usefulness or ineffective.

Regulation 5.7

The Secretary-General shall provide the Committee for Programme and Coordination and the Advisory Committee on Administrative and Budgetary Questions with advance copies of the proposed programme budget by the end of April of the year preceding the budgetary period.

Rule 105.7

(a) Heads of departments and offices shall submit programme proposals and corresponding budget estimates at such time and in such detail as the Secretary-General may prescribe and in accordance with the present Regulations and Rules.

(b) The submissions shall be reviewed by the Steering Committee on Reform and Management. In the light of the deliberations of the Steering Committee, the Secretary-General shall decide on the programme content and resource allocation of the budget to be submitted to the General Assembly.

(c) The programmes of work submitted by programme managers to specialized intergovernmental organs should contain activities and output specifications identical to those set out in the programme portion of the proposed programme budget. This does not preclude the addition of further information and detail if required by the specialized intergovernmental organs.

Regulation 5.8

The Committee for Programme and Coordination shall prepare a report on the proposed programme budget containing its programme recommendations and its general assessment of the related resource proposals. It shall receive a statement by the Secretary-General on the programme budget implications of its recommendations. The report of the Committee for Programme and Coordination shall be communicated simultaneously to the Economic and Social Council and to the Advisory Committee on Administrative and Budgetary Questions. The Advisory Committee shall receive the report of the Committee for Programme and Coordination and study the statement by the Secretary-General. The reports of the Committee for Programme and Coordination and the Advisory Committee on each section of the proposed programme budget shall be considered simultaneously by the General Assembly.

Regulation 5.9

No council, commission or other competent body shall take a decision involving either a change in the programme budget approved by the General Assembly or the possible requirement of expenditure unless it has received and taken account of a report from the Secretary-General on the programme budget implications of the proposal.

Rule 105.8

It shall be the responsibility of the head of the department concerned, in consultation with the Office of Programme Planning, Budget and Accounts, to ensure that a report on programme budget implications, as required by regulation 5.9, is submitted to the General Assembly prior to its adoption of any resolution or decision. The report should integrate the programme, financial and administrative implications of draft resolutions and include the following information:

(a) Modifications of the work programme that would be necessary should the proposed draft resolution, recommendation or decision be adopted, listing additions, changes or deletions to programmes, subprogrammes, outputs and activities;

(b) Indications, where applicable, of similar or closely related work being carried out elsewhere in the Secretariat and, if possible, indications of related activities being conducted in the specialized agencies of the United Nations system;

(c) In cases where it is proposed to finance such additional activities totally or partly through the redeployment of existing resources, an indication of the outputs or subprogrammes in the current work programme that would be changed, curtailed or terminated as a consequence.

Article VI
Monitoring of programme implementation

Regulation 6.1

The Secretary-General shall monitor accomplishments, as measured by the delivery of outputs scheduled in the approved programme budget, through a central unit in the Secretariat. After the completion of the biennial budget period, the Secretary-General shall report to the General Assembly, through the Committee for Programme and Coordination, on programme performance during that period.

Rule 106.1

(a) The Central Monitoring and Inspection Unit, in consultation with the Office of Programme Planning, Budget and Accounts, shall:

(i) Monitor changes made during the biennium in the programme of work set out in the programme budget approved by the General Assembly;

(ii) At the end of the biennium, determine the actual progress made towards achieving expected accomplishments, as measured by the delivery of final outputs, in comparison with the commitments set out in the programme narratives of the approved programme budget and report thereon to the General Assembly through the Committee for Programme and Coordination. This monitoring and performance reporting shall cover all activities in the programme budget.

(b) Programme performance shall be reported in accordance with the following procedures:

(i) Heads of departments and offices shall submit biennial programme performance reports for their departments at such time and in such detail as the Secretary-General may prescribe;

(ii) The Central Monitoring and Inspection Unit shall be responsible for ascertaining programme delivery and preparing the related report to the General Assembly.

(c) The Audit and Management Consulting Division shall conduct ad hoc detailed audits of output delivery.

(d) In the programme performance report, final outputs shall be listed according to the following categories:

(i) Completed as programmed;

(ii) Postponed to the following biennium, whether commenced or not;

(iii) Completed but significantly reformulated;

(iv) Terminated as obsolete, of marginal usefulness or ineffective;

(v) Additional output required by a legislative decision subsequent to the approval of the programme budget;

(vi) Additional output initiated by the programme manager.

An implementation rate based on the above categories shall be assigned to each programme in the programme performance report. Explanations shall be provided in the programme performance report for low implementation rates and, upon the request of Member States, for any other departures from programmed commitments.

(e) In the programme performance report, the assessment of progress against objectives and expected accomplishments required under rule 106.1 (a) (ii) shall be provided, to the extent possible, by subprogramme. An explanation shall be given for lack of progress.

Regulation 6.2

An entire subprogramme shall not be reformulated nor a new programme introduced in the programme budget without the prior approval of an intergovernmental body and the General Assembly. The Secretary-General may make such proposals for review by the relevant intergovernmental body if he or she considers that circumstances so warrant.

Rule 106.2

Programme implementation shall be monitored under the following procedures:

(a) Heads of departments or offices shall establish internal programme-monitoring procedures pursuant to guidelines established by the Central Monitoring and Inspection Unit;

(b) Within any subprogramme, heads of departments or offices shall have the discretion with full justification to modify the approved programme budget by reformulating final outputs, postponing delivery of outputs to the following biennium or terminating outputs, provided that such changes are in pursuance of the objective and strategy of the subprogramme as set out in the medium-term plan. Such proposed changes shall be reported through the Central Monitoring and Inspection Unit;

(c) Subject to the procedures established under (a) and (b) above, changes in the programme of work mandated by a competent intergovernmental organ that can be implemented within existing resources may be implemented by the department or office concerned;

(d) Changes in the programme of work requiring net additional resources may not be implemented before they are approved by the General Assembly.

Regulation 6.3

The Secretary-General shall transmit the biennial programme performance report to all Member States by the end of the first quarter following the completion of the biennial budgetary period.

Article VII
Evaluation

Regulation 7.1

The objective of evaluation is:

(a) To determine as systematically and objectively as possible the relevance, efficiency, effectiveness and impact of the Organization's activities in relation to their objectives;

(b) To enable the Secretariat and Member States to engage in systematic reflection, with a view to increasing the effectiveness of the main programmes of the Organization by altering their content and, if necessary, reviewing their objectives.

Rule 107.1

(a) The objectives of a programme or subprogramme shall be the standards against which its relevance, effectiveness and impact will be assessed. As a necessary component of programme evaluation there shall be an assessment of the relevance, quality and usefulness of individual output and the effectiveness of the output in achieving the time-limited subprogramme objectives.

(b) Baseline data and indicators of achievement shall be utilized in the evaluation process to assess programme impact in terms of the objectives. An attempt shall be made to identify and analyse the factors associated with effectiveness and impact.

(c) Evaluation findings shall be communicated to Member States through intergovernmental bodies and to heads of departments and offices in order to facilitate the reconsideration of existing mandates, policies, strategies and objectives, the substantive content of programmes and its utility to the users.

Regulation 7.2

All activities programmed shall be evaluated over a fixed time period. An evaluation programme as well as a timetable for intergovernmental review of evaluation studies shall be proposed by the Secretary-General and approved by the General Assembly at the same time as the proposed medium-term plan.

Rule 107.2

(a) All programmes shall be evaluated on a regular, periodic basis. At the programme or subprogramme level, evaluation plans shall be linked to the medium-term plan, and they shall be integrated with the programme budget cycle.

(b) The evaluation system shall include periodic self-evaluation of activities directed at time-limited objectives and continuing functions. Programme managers shall, in collaboration with their staff, undertake self-evaluation of all subprogrammes under their responsibility. Specifically:

(i) The timing, scope and other characteristics of a self-evaluation study shall be determined by the nature and characteristics of the activities programmed and other relevant factors;

(ii) Methodological support shall be provided by the Central Evaluation Unit in connection with the preparation of self-evaluation reports;

(iii) Evaluation plans, which are required for each new and ongoing subprogramme, shall be prepared by programme managers and shall contain the following elements: a definition of the purpose of the evaluation and the anticipated application of evaluation findings; the evaluation methodology to be employed; the characteristics of the evaluation (e.g., the scope of coverage and the period covered); the measures of change (e.g., the nature of the progress and the impact indicators to be employed); the means of information collection; the administrative arrangements; and the resource requirements.

(c) In addition to self-evaluation, the evaluation system shall include the ad hoc in-depth evaluation of selected programme areas or topics conducted internally or externally at the request of intergovernmental bodies or at the initiative of the

Secretariat. In determining whether an in-depth evaluation should be carried out, the results of self-evaluation shall be taken into account. Specifically:

(i) The evaluation proposals submitted by the Secretary-General to the General Assembly for its approval shall include a list of programmes or portions of programmes to be covered on a regular, periodic basis by in-depth evaluations and a timetable indicating the years in which the related reports are due;

(ii) In-depth evaluation reports to be submitted for consideration by the Committee for Programme and Coordination or by the intergovernmental or expert organs directly concerned with each programme shall be prepared by the Central Evaluation Unit, in collaboration with the programme managers concerned and, if necessary, competent experts in the fields involved. The Joint Inspection Unit may also assist in the preparation of such reports;

(iii) At least one in-depth evaluation study shall be undertaken each year. Such a study shall normally be completed within two years.

Regulation 7.3

Evaluation may be internal and/or external. The Secretary-General shall develop internal evaluation systems and seek the cooperation of Member States in the evaluation process, as appropriate. Evaluation methods shall be adapted to the nature of the programme being evaluated. The General Assembly shall invite such bodies as it sees fit, including the Joint Inspection Unit, to perform ad hoc external evaluations and to report on them.

Rule 107.3

(a) Self-evaluation shall be conducted by programme managers in compliance with guidelines established by the Central Evaluation Unit, which will be responsible for quality standards, methodology, the adaptation and transfer of evaluation information and ad hoc studies.

(b) The United Nations programme categories shall be used as a reference, but the primary focus of self-evaluation shall be on the subprogramme, outputs and activities.

(c) Self-evaluation reports shall be concerned with the effectiveness and impact of subprogrammes. In them, programme managers shall:

(i) Assess the quality and relevance of the outputs of each subprogramme and their usefulness to the users;

(ii) Compare the situation existing at the start of the implementation of each subprogramme and what remains to be done in order to ascertain the extent to which a subprogramme has attained its objective;

(iii) Analyse the extent to which the objectives of the programme have been attained and the impact of the totality of subprogrammes implemented in the context of the programme;

(iv) Identify, in the light of such findings, other possible designs for the programme; that is, alternative subprogrammes that might be considered in order to improve performance in attaining the programme objectives.

(d) The programme evaluation system shall utilize all information collected during the programme performance, monitoring and reporting process but shall remain separate and distinct from that process.

(e) The programme evaluation system is separate and distinct from the personnel performance appraisal system. Since the programme evaluation system is concerned with programme effectiveness and impact rather than the performance of individual staff members, no information shall be transmitted between the two systems.

Regulation 7.4

The findings of the intergovernmental review of evaluations shall be reflected in subsequent programme design and delivery and policy directives. To this end, a brief report summarizing the conclusions of the Secretary-General on all evaluation studies conducted in the established evaluation programme shall be submitted to the General Assembly at the same time as the text of the proposed medium-term plan.

Rule 107.4

(a) Evaluation findings in respect of ongoing or continuing activities shall be directly and immediately communicated to those responsible for programme planning and management to permit mid-course correction if required.

(b) The evaluation system shall include the monitoring of action taken on the basis of evaluation conclusions and recommendations.

(c) Evaluation methods shall be made consistent and comparable so as to facilitate the adaptation and transfer of evaluation findings among United Nations programmes.

(d) The reporting of evaluation results shall include a statement on the comprehensiveness and rigour of the evaluation process; it shall clearly differentiate between objective evidence, professional technical judgements and political judgements of Member States, and all its conclusions and recommendations shall be supported by such evidence and judgements. The recommendations contained in the report shall be unambiguous and possible to implement.

(e) Intergovernmental or expert committees directly concerned with each programme shall formulate, in connection with the evaluation reports submitted to them, recommendations concerning methods of implementation and shall suggest, where appropriate, a new design for the programme, resulting in a new set of subprogrammes. Those recommendations shall be transmitted to the Committee for Programme and Coordination for consideration and, in the case of programmes concerning servicing activities, to the Advisory Committee on Administrative and Budgetary Questions as well.

(f) After considering the recommendations of the competent intergovernmental or expert organs and the recommendations contained in the reports prepared by the Central Evaluation Unit, the Committee for Programme and Coordination shall propose to the Economic and Social Council and to the General Assembly measures that may relate to:

(i) Changes in procedures used in implementing ongoing programmes;

(ii) The redefinition of the content of programmes and subprogrammes.

(g) Measures thus proposed shall be considered either in connection with the formulation of a new plan after study by the intergovernmental bodies concerned of the report summarizing the conclusions of the Secretary-General on the relevant evaluation studies, as envisaged in regulation 7.4, or in connection with a biennial revision of the plan, as envisaged in regulation 4.13.

(h) A summary report shall be prepared periodically to include findings of individual reports and general conclusions on the design of the programmes reviewed in order to assist in the preparation of the medium-term plan.

Annex

Glossary of terms

Activity. Action taken to transform inputs into outputs.

Budget year. The second year of a biennium, in which the Secretary-General submits the proposed programme budget for the following biennium.

Common services. Common services are either conference services rendered to Member States or administrative services rendered by a single unit to more than one department or office.

Competent intergovernmental organ. An intergovernmental organ is competent to provide legislative mandates to the Secretariat in the areas covered by its terms of reference as set out in intergovernmental resolutions or decisions, normally those establishing its existence. Such competence may be global, regional, sectoral or functional.

Delivery of output. An output is generally considered to have been delivered when the service is completed or when the products resulting from a programme activity are made available to the intended primary users; e.g., in the case of a report or a technical publication, when it has been circulated to Member States, interested Governments or other primary users; in the case of a sales publication, when it is placed on sale.

Effectiveness is the extent to which expected accomplishments are achieved.

Efficiency is measured by how well inputs are converted into outputs.

End-user is the recipient or beneficiary of an output or accomplishment.

Evaluation is a process that seeks to determine as systematically and objectively as possible the relevance, effectiveness and impact of an activity in the light of its goals, objectives and accomplishments. Specifically:

- *In-depth evaluation* is undertaken by the Central Evaluation Unit at the request of the Committee for Programme and Coordination, as endorsed by the General Assembly, or at the request of other intergovernmental bodies. It may also be undertaken by evaluation units in regional and sectoral secretariats at the request of their governing bodies. This type of evaluation may also be initiated by the Secretary-General for a particular programme as the need arises. In-depth evaluation focuses on the programme. On the basis of studies conducted by the relevant evaluation unit for their consideration, the Committee for Programme and Coordination, intergovernmental bodies at the regional and sectoral levels, other technical intergovernmental bodies and appropriate expert bodies concerned review entire programmes or the entire work of an entity in depth. The objective is to make recommendations that would help the Economic and Social Council and the General Assembly to formulate decisions aimed at increasing the overall relevance, effectiveness and impact of the programmes of the United Nations in the context of the intergovernmental goals and policies;
- *Self-evaluation* is undertaken by programme managers primarily for their own use. Self-evaluation focuses on the subprogramme and can be applied to all sectors, including political, legal, humanitarian, economic and social affairs,

public information and common services. As an integral part of the management process, the design and conduct of the self-evaluation procedure are specified at the planning and programming stages in conjunction with the design of the relevant subprogramme. Findings are applied by the programme managers to make necessary adjustments in implementation or are fed back into the planning and programming process in the form of proposed changes in the design and/or orientation of the subprogramme or project concerned. While the results of self-evaluation are not normally reported at the intergovernmental level, the conclusions drawn from the analytical information generated for various subprogrammes and projects within a programme can be used as inputs for assessing the programme as a whole;

- *Internal evaluation* covers both self-evaluation and in-depth evaluation (see above);
- *Ongoing evaluation* is the examination of an activity during its implementation to assess its continued relevance and progress towards the achievement of its objectives;
- *Ex post evaluation* is the assessment of the relevance, effectiveness and impact of an activity carried out some time after its completion.

Expected accomplishment is a desired outcome involving benefits to end-users, expressed as a quantitative or qualitative standard, value or rate. Accomplishments are the direct consequence or effect of the generation of outputs and lead to the fulfilment of a certain objective.

External evaluation is performed by entities outside the United Nations Secretariat. The General Assembly invites such bodies as it sees fit, including the Joint Inspection Unit, to carry out this type of evaluation.

External factors are events and/or conditions that are beyond the control of those responsible for an activity but that have an influence on the success or failure of the activity. They may be anticipated in the form of assumptions or they may be unanticipated.

Impact is an expression of the changes produced in a situation as the result of an activity that has been undertaken.

Indicators of achievement are used to measure whether and/or the extent to which the objectives and/or expected accomplishments have been achieved. Indicators correspond either directly or indirectly to the objective or the expected accomplishment for which they are used to measure performance.

Inputs are personnel and other resources necessary for producing outputs and achieving accomplishments.

Intergovernmental organ. An organ is intergovernmental if its membership consists of Governments. Thus, United Nations bodies consisting of persons serving in their individual capacities are not intergovernmental organs, even if the persons concerned were nominated by Governments or elected by an intergovernmental organ.

Legislative mandate. A legislative mandate is a request for action addressed to the Secretary-General or an executive head acting on his behalf in a resolution or decision adopted by a competent United Nations intergovernmental organ.

Monitoring. Monitoring is the periodic determination by the head of a department or office, or by the Central Monitoring and Inspection Unit, of the actual delivery of final outputs in comparison with the commitments for the delivery of outputs set out in the programme budget as approved by the General Assembly.

Objective. In programme budgeting, objective refers to an overall desired achievement involving a process of change and aimed at meeting certain needs of identified end-users within a given period of time.

Off-budget year. The first year of a biennium, in which the Secretary-General submits an outline of the proposed programme budget for the following biennium.

Outputs. Outputs are final products or services delivered by a programme or subprogramme to end-users, such as reports, publications, training, servicing of meetings, or advisory, editorial, translation or security services, which an activity is expected to produce in order to achieve its objectives.

Priority. A priority is a preferential rating for the allocation of limited resources. Thus, activities with the highest priority are those that would be conducted even if total resources were significantly curtailed; activities with the lowest priority are those that would be curtailed or terminated if all anticipated resources were not available or if activities with a higher priority had to be commenced or expanded.

Programme. A programme consists of the activities undertaken by a department or office.

Programme manager. A programme manager is the Secretariat official responsible for the formulation and implementation of a programme as defined above, normally the head of an organizational unit. For the purposes of self-evaluation, programme managers also refer to those who are involved in the implementation of subprogrammes, namely, the head of a division, branch or section.

Programme strategy. A programme strategy is a sequence of means of action to be undertaken for the purpose of achieving an objective.

Relevance. Relevance is the extent to which an activity, expected accomplishment or strategy is pertinent or significant for achieving the related objective and the extent to which the objective is significant to the problem addressed. Relevance is viewed in the context of the activity's design as well as in the light of the factual situation at the time of evaluation.

Subprogramme. A subprogramme consists of activities within a programme aimed at achieving one or a few closely related objectives as set out in the medium-term plan. The subprogramme structure shall correspond, to the extent possible, to an organizational unit, normally at the division level.

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United Nations ST/SGB/2000/9

Secretariat

15 May 2000

Secretary-General's bulletin

Functions and organization of the Department of Peacekeeping Operations

The Secretary-General, pursuant to Secretary-General's bulletin ST/SGB/1997/5, entitled "Organization of the Secretariat of the United Nations", and for the purpose of establishing the functions and organizational structure of the Department of Peacekeeping Operations, promulgates the following:

Section 1
General provision

The present bulletin shall apply in conjunction with Secretary-General's bulletin ST/SGB/1997/5, entitled "Organization of the Secretariat of the United Nations".

Section 2
Functions and organization

2.1 The Department of Peacekeeping Operations:

(a) Serves as the operational arm of the Secretary-General for all United Nations peacekeeping operations and is responsible for the conduct, management, direction, planning and preparation of those operations;

(b) Provides substantive services to the Security Council and the General Assembly on all peacekeeping operations;

(c) Prepares the Secretary-General's reports to the Security Council and the General Assembly, as required, on individual peacekeeping operations, on peacekeeping issues in general and on mine action;

(d) Serves as United Nations system focal point for mine action, coordinates all United Nations mine action activities, develops and supports, as appropriate, mine action programmes in peacekeeping and emergency situations and manages the Voluntary Trust Fund for Assistance in Mine Action;

(e) Provides substantive and secretariat services to the Special Committee on Peacekeeping Operations;

(f) Formulates policies and procedures, based on Security Council decisions, for the establishment of new peacekeeping operations and the effective functioning of ongoing operations;

(g) Secures, through negotiations with Governments, military units and equipment, as well as other military, civilian police officers and civilian personnel required for peacekeeping operations;

(h) Develops operational plans and methodologies for multidimensional operations; undertakes contingency planning for possible new peacekeeping operations and related activities;

(i) Proposes resource requirements for those operations to the Controller for preparation and submission of budgets to the legislative bodies for approval; monitors and controls regular budget and extrabudgetary funds related to peacekeeping activities;

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(j) Provides logistic and administrative support for peacekeeping operations, as well as other field offices and missions, as required;

(k) Maintains contacts with the parties to the conflicts and the members of the Security Council concerning the effective implementation of the Security Council's decisions; liases with Member States, United Nations agencies and non-governmental organizations and coordinates, with other entities, their participation in peacekeeping operations;

(l) Prepares training guidelines and principles for the use of Member States making contributions to peacekeeping operations.

2.2 The Department is divided into organizational units, as described in the present bulletin.

2.3 The Department is headed by the Under-Secretary-General for Peacekeeping Operations.

Section 3
Under-Secretary-General for Peacekeeping Operations

3.1 The Under-Secretary-General for Peacekeeping Operations is accountable to the Secretary-General.

3.2 The Under-Secretary-General is responsible for the activities of the Office of Operations, the Office of Logistics, Management and Mine Action and the Military and Civilian Police Division. On behalf of the Secretary-General, the Under-Secretary-General directs and controls United Nations peacekeeping operations; formulates policies for peacekeeping operations and operational guidelines based on Security Council mandates; prepares reports of the Secretary-General to the Security Council on each peacekeeping operation, with appropriate observations and recommendations; advises the Secretary-General on all matters related to the planning, establishment and conduct of United Nations peacekeeping missions; represents the Department in the meetings of the Senior Management Group, the Steering Committee on Reform and the Executive Committees on Peace and Security and Humanitarian Affairs; acts as focal point between the Secretariat and Member States seeking information on all matters related to peacekeeping operations and United Nations mine action activities.

Section 4
Office of the Under-Secretary-General

4.1 The Office of the Under-Secretary-General for Peacekeeping Operations comprises the immediate office of the Under-Secretary-General, the Policy Analysis and Lessons Learned Unit and the Executive Office.

4.2 The core functions of the immediate Office of the Under-Secretary-General are as follows:

(a) Assisting and advising the Under-Secretary-General in carrying out his duties;

(b) Providing advice on issues requiring policy decisions;

(c) Coordinating the work of the Department which requires clearance by the Head of the Office.

4.3 The Policy, Analysis and Lessons Learned Unit is headed by a Chief who is accountable to the Under-Secretary-General.

4.4 The core functions of the Policy Analysis and Lessons Learned Unit are as follows:

(a) Analysing and assessing United Nations peacekeeping experience and evaluating the results achieved and lessons learned in order to develop guidelines and recommendations for the better planning, conduct, management and support of peacekeeping operations;

(b) Servicing the Special Committee on Peacekeeping Operations by preparing pre-session documentation and providing technical and substantive services when the Committee is in session;

(c) Providing related services during the consideration of peacekeeping in the Fourth Committee of the General Assembly as well as various ad hoc intergovernmental committees on issues relating to peacekeeping.

4.5 The Executive Office is headed by an Executive Officer who is accountable to the Under-Secretary-General.

4.6 The core functions of the Office are set out in section 7 of the Secretary-General's bulletin ST/SGB/1997/5.

Section 5
Office of Operations

5.1 The Office of Operations is headed by an Assistant Secretary-General who is accountable to the Under-Secretary-General. The Office is comprised of three regional divisions and the Situation Centre.

5.2 The specific peacekeeping operations fall within the responsibility of one of the corresponding regional divisions, namely, the Africa Division, the Asia and Middle East Division and the Europe and Latin America Division. The divisions are each headed by a Director who is accountable to the Assistant Secretary-General, Office of Operations.

5.3 The core functions of the Office of Operations are as follows:

(a) Providing day-to-day executive direction of peacekeeping operations, including substantive guidance to the field, coordinating and integrating inputs from other offices within the Department of Peacekeeping Operations, as well as from other departments, agencies and programmes, in order to promote the implementation of the mandates and political objectives set by the Security Council for the operations;

(b) Devising, promoting agreement on and implementing solutions to the problems facing the peacekeeping operations, and supporting them politically and substantively vis-à-vis the parties to the conflict and other interested parties and representing their concerns to members of the Security Council and the contributors, and vice versa;

(c) Overseeing the planning process for new missions by providing the overall framework, developing options for courses of action, leading reconnaissance missions to the field, and coordinating and integrating inputs from within the department and from other entities, including military, police, humanitarian, electoral, human rights and other aspects, into a comprehensive plan for approval by the Security Council;

(d) Fulfilling the Secretary-General's reporting obligations on peacekeeping operations to the Security Council.

5.4 The Situation Centre is headed by a Chief who is accountable to the Assistant Secretary-General, Office of Operations.

5.5 The core functions of the Situation Centre are as follows:

(a) Maintaining round-the-clock communications with the field;

(b) Collating and disseminating all relevant information to those concerned;

(c) Acting as a point of contact during silent hours and taking urgent action that may be required, with due regard to established procedures;

(d) Providing crisis management capabilities, as well as databases, area maps and other reference material.

Section 6
Office of Logistics, Management and Mine Action

6.1 The Office of Logistics, Management and Mine Action is headed by an Assistant Secretary-General who is accountable to the Under-Secretary-General. The Office comprises the Field Administration and Logistics Division and the United Nations Mine Action Service.

6.2 The core functions of the Office are as follows:

(a) Providing executive direction and overall coordination of all management, administrative and logistics support activities for field missions, including staffing, administration, finance and procurement;

(b) Liaising with and conducting negotiations with Member States and other organizations regarding the administrative modalities of their contributions to peacekeeping operations;

(c) Coordinating the activities of the United Nations agencies and departments in mine action; developing and implementing a policy and strategy for mine action.

Section 7
Field Administration and Logistics Division

7.1 The Field Administration and Logistics Division is headed by a Director who is accountable to the Assistant Secretary-General for Logistics, Management and Mine Action. The Division is comprised of three sections, the Finance Management and Support Service, the Logistics and Communications Service

and the Personnel Management and Support Service. Each section is headed by a principal officer who is accountable to the Director of the Division.

7.2 The core functions of the Finance Management Support Service are as follows:

(a) Coordinating, preparing and submitting to the Controller proposals for resource requirements for new, expanding or on-going field missions, for review, finalization and submission to legislative organs; participating in the deliberations of the Advisory Committee on Administrative and Budgetary Questions and the Fifth Committee on matters relating to peacekeeping budgets and finance;

(b) Monitoring monthly field and headquarters accounts in order to ensure compliance with budgetary/allotment authorizations and providing support to substantive departments and field missions to ensure effective resource management, control and adherence to United Nations financial regulations and rules; providing reports on financial performance, including on disposal of assets; certifying and processing claims submitted to the Organization from troop contributors and commercial service contractors;

(c) Serving as focal point in the Department for compliance with internal and external audit matters relating to field missions and the Field Administration and Logistics Division.

7.3 The core functions of the Logistics and Communications Service are as follows:

(a) Developing and implementing peacekeeping logistics policy and procedures; preparing resource projections and coordinating the provision of logistics, communications and medical support; elaborating contingency logistic plans for field missions; overseeing and directing the operation of the United Nations Logistics Base in Brindisi, Italy;

(b) Coordinating logistics operations in support of field missions; developing, implementing and maintaining automated logistics systems, including global assets management; providing specialist logistics advice for the development of memoranda of understanding on contingent-owned equipment with troop-contributing countries and managing their implementation;

(c) Determining requirements for and managing of the global peacekeeping vehicle fleet; planning, coordinating and monitoring peacekeeping air operations to ensure their compliance with the United Nations regulations, safety and efficiency; monitoring the services provided by air charter operators; deploying, rotating and repatriating military contingents and groups of civilian police officers and military observers; and managing all air and sea contracts in support of field missions;

(d) Controlling and coordinating supply requirements for life-support commodities and other maintenance supplies and service support or logistical capability contracts; defining generic specifications, identifying optimum methods of supply and preparing and reviewing technical and contractual specifications; raising requisitions for procurement from commercial and governmental sources; managing and controlling engineering programmes, United Nations-owned peacekeeping facilities, engineering services contracts and engineering equipment in field missions;

(e) Assessing and planning peacekeeping information technology requirements; managing and monitoring electronic data-processing facilities and applications of field missions; developing, deploying, managing and configuring major communications networks, including the global and mission-operated satellite systems.

7.4 The core functions of the Personnel Management and Support Service are as follows:

(a) Anticipating, determining and modifying civilian personnel requirements of field missions; screening applications, identifying, interviewing and evaluating candidates and maintaining an up-to-date roster of applicants for key occupational groups; under delegated authority, selecting and appointing all international civilian staff and making arrangements for their briefing, medical clearance and travel to the field missions; arranging travel for military observers and civilian police officers and processing government claims related to the travel of military/police observers;

(b) Under delegated authority, administering initial appointments, assignments, extensions, separations, benefits and entitlements of field staff, including filing of compensation claims in respect of all injuries or casualties of field personnel, and management of rotation, promotion and career development of Field Service staff; participating in staff-management consultations;

(c) Contributing to the development of organizational personnel policies, procedures, rules and regulations as well as proposing revisions as necessary to adjust them to field personnel requirements; ensuring consistency in the application of personnel policies and practices in the field; monitoring the authorities delegated to the missions.

Section 8
Mine Action Service

8.1 The Mine Action Service is headed by a Chief who is accountable to the Assistant Secretary-General for Logistics, Management and Mine Action.

8.2 The core functions of the Mine Action Service are as follows:

(a) Serving as focal point within the United Nations system for all mine-related activities;

(b) Coordinating the mobilization of resources and managing the Voluntary Trust Fund for Assistance in Mine Action;

(c) Assessing and monitoring the global landmine threat; developing appropriate mine action plans in humanitarian emergencies and providing mine action support to peacekeeping operations;

(d) Overseeing the development, maintenance and promotion of technical and safety standards;

(e) Serving as central repository of information on landmines and mine action, including information on technology, and developing appropriate mine action information systems to this effect;

(f) Advocating in support of a global ban on antipersonnel landmines and supporting the Secretary-General in carrying out the tasks entrusted to him by the Convention on the Prohibition of the Use, Stockpiling, Production and Transfer of Anti-personnel Mines and on Their Destruction.

Section 9
Military and Civilian Police Division

9.1 The Military and Civilian Police Division is headed by a Military Adviser who is accountable to the Under-Secretary-General and advises him on military matters, reporting through the Assistant Secretaries-General for Office of Operations and the Office of Logistics, Management and Mine Action.

9.2 The Division comprises four organizational units, namely, the Office of the Military Adviser, the Military Planning Service, the Training Unit and the Civilian Police Unit.

9.3 The core functions of the Office of the Military Adviser are as follows:

(a) Providing advice on all military and civilian police matters as and when required, and as requested directly by the Secretary-General;

(b) Preparing operational plans for military and/or civilian police components of field missions, including contingency plans for potential, ongoing or closing peacekeeping missions;

(c) Tracking the daily operations of the military and civilian police components of ongoing field missions, monitoring implementation of plans and providing advice to the force headquarters;

(d) Liaising with Member States as regards rotations, replacements and repatriations of military and civilian police personnel deployed in mission areas;

(e) Providing practical and conceptual support to training in order to enhance the readiness of Member States to undertake peacekeeping operations;

(f) Providing an immediate establishment capacity to newly authorized missions with which to begin military components of the mandate's implementation; and promoting and assisting in the coordination of such activities.

9.4 The Military Planning Service comprises three Units: the Mission Development Unit, the Generic Planning Unit and the Standby Arrangements Unit.

9.5 The core functions of the Service are as follows:

(a) Preparing comprehensive military operational plans for new peacekeeping operations, participating in fact finding missions to current and potential mission areas and, as required, revising and modifying plans for current operations;

(b) Preparation of contingency plans;

(c) Monitoring current missions in order to reduce the time required to plan for major changes, including mission termination;

(d) Developing and revising of generic and mission-specific guidelines and procedures relating to military participation in peacekeeping operations;

(e) Maintaining the Standby Arrangements system with Member States for the supply of troops, personnel, equipment and required services;

(f) Defining the operational requirement for military personnel and contingent-owned equipment required by missions; providing technical advice on contingent-owned equipment claims submitted by Member States as required.

9.6 The core functions of the Training Unit are as follows:

(a) Acting as the focal point for military and civilian police peacekeeping training by maintaining contact and liaison with the Permanent Missions to the United Nations and the major regional and national peacekeeping training centres as regards current training practices, standards, training policy and material;

(b) Assisting Member States in developing national and regional training institutions, including through the conduct of "train the trainer workshops" to develop a pool of expert civilian police and military trainers;

(c) Conducting staff training courses, monitoring and assisting in-mission training and providing pre-mission training guidance and support to Member States;

(d) Preparing and distributing training publications and materials in support of the peacekeeping training efforts of Member States.

9.7 The core functions of the Civilian Police Unit are as follows:

(a) Preparing plans for the civilian police components of field missions, monitoring their implementation and revising them as necessary;

(b) Developing civilian police guidelines and standing operating procedures for field missions;

(c) Liaising with Member States as regards the identification and deployment of civilian police officers to field missions, the operational requirements thereto and related personnel and administrative issues;

(d) Organizing selection assistance teams to assist Member States in identifying qualified civilian police officers and in the development of their selection procedures.

Section 10
Final provisions

10.1 The present bulletin shall enter into force on 1 June 2000.

10.2 The Secretary-General's bulletin of 22 March 1995, entitled "Functions and organization of the Department of Peacekeeping Operations" (ST/SGB/Organization, Section: DPKO), is hereby abolished.

(*Signed*) Kofi A. **Annan**
Secretary-General

United Nations ST/SGB/2000/10

Secretariat

15 May 2000

Secretary-General's bulletin

Organization of the Department of Political Affairs

The Secretary-General, pursuant to Secretary-General's bulletin ST/SGB/1997/5, entitled "Organization of the Secretariat of the United Nations", and for the purpose of establishing the organizational structure of the Department of Political Affairs, promulgates the following:

Section 1
General provision

The present bulletin shall apply in conjunction with Secretary-General's bulletin ST/SGB/1997/5, entitled "Organization of the Secretariat of the United Nations".

Section 2
Functions and organization

2.1 The Department of Political Affairs:

(a) Provides advice and support to the Secretary-General in the discharge of his global responsibilities related to the prevention, control and resolution of conflicts, including post-conflict peace-building, in accordance with the relevant provisions of the Charter of the United Nations and under the mandates given to him by the General Assembly and the Security Council. The Department is the focal point within the United Nations for post-conflict peace-building;

(b) Provides the Secretary-General with advice and support in the political aspects of his relations with Member States and other intergovernmental organizations, especially regional organizations with which the United Nations cooperates, including under Chapter VIII of the Charter, through the drafting of correspondence, the provision of briefing materials for his meetings with their representatives and taking the record of such meetings;

(c) Provides the Secretary-General with advice and support on electoral assistance matters and ensures appropriate consideration of and response to Member States' requests for such assistance. The Under-Secretary-General for Political Affairs is the focal point for United Nations electoral assistance activities;

(d) Provides substantive support and secretariat services to the Security Council and its subsidiary bodies, as well as to the Committee on the Exercise of the Inalienable Rights of the Palestinian People;

(e) Provides substantive support to the General Assembly and its relevant subsidiary organs, including the Special Committee on the Situation with regard to the Implementation of the Declaration on the Granting of Independence to Colonial Countries and Peoples (Special Committee of 24).

2.2 The Department is divided into organizational units, as described in the present bulletin.

2.3 The Department is headed by the Under-Secretary-General for Political Affairs. The Under-Secretary-General and the officials in charge of each organizational unit, in addition to the specific functions set out in the present bulletin, perform the general functions applicable to their positions, as set out in Secretary-General's bulletin ST/SGB/1997/5.

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Section 3
Under-Secretary-General for Political Affairs

3.1 The Under-Secretary-General for Political Affairs is accountable to the Secretary-General.

3.2 The Under-Secretary-General is responsible for all the activities of the Department of Political Affairs, as well as its administration; provides the Secretary-General with advice and support on all political matters; provides political guidance and instructions to special envoys/representatives of the Secretary-General and other field representatives, as appropriate; directs and manages, on behalf of the Secretary-General, goodwill, fact-finding and other special political missions; undertakes, on behalf of the Secretary-General, diplomatic activities relating to the prevention, control and resolution of disputes, including post-conflict peace-building; convenes and chairs the Executive Committee on Peace and Security; acts as the focal point in the Secretariat for all matters related to electoral assistance; and directs, through two Assistant Secretaries-General, the provision of substantive support and secretariat services to the Security Council and its subsidiary organs, as well as to the Committee on the Exercise of the Inalienable Rights of the Palestinian People and the provision of substantive support to the General Assembly and its relevant subsidiary organs, including the Special Committee of 24.

Section 4
Office of the Under-Secretary-General

4.1 The Office of the Under-Secretary-General is headed by a Chief who is accountable to the Under-Secretary-General.

4.2 The core functions of the Office are as follows:

(a) Monitoring the implementation of the work plan of the Department;

(b) Advising the Under-Secretary-General on departmental policies and guidelines and dealing with specific policy and management issues/problems;

(c) Preparing reports and notes on political and managerial issues for consideration by the Under-Secretary-General;

(d) Acting as a focal point for information on all aspects of the work of the Department;

(e) Coordinating interdepartmental activities and undertaking the necessary follow-up;

(f) Consulting, negotiating and coordinating with other departments, offices, funds and programmes on matters of mutual concern;

(g) Representing or arranging for representation of the Department at appropriate meetings;

(h) Overseeing the activities of the Executive Office and of the various departmental teams or working groups established under the authority of the Under-Secretary-General.

Section 5
Assistant Secretaries-General

The Under-Secretary-General for Political Affairs, in the performance of his activities, is assisted by two Assistant Secretaries-General supervising work related to the prevention, control and resolution of conflicts, including post-conflict peace-building, and to decolonization and the question of Palestine, as well as to the Security Council and its subsidiary organs. The Assistant Secretaries-General are accountable to the Under-Secretary-General.

Section 6
Regional divisions

6.1 There are four regional divisions: two for Africa, one for Asia and one for the Americas and Europe. Each regional division is headed by a Director who is accountable to the Under-Secretary-General through one of the Assistant Secretaries-General.

6.2 The core functions of the divisions are as follows:

(a) Identifying potential crisis areas and providing early warning to the Secretary-General on developments and situations affecting international peace and security;

(b) Planning and participating in fact-finding, peacemaking and other missions to areas of actual or potential conflicts where the Secretary-General's preventive and peacemaking efforts may be needed or are already engaged;

(c) Providing political guidance and support to special representatives and other senior officials appointed by the Secretary-General to assist in his efforts in the fields of preventive diplomacy and peacemaking. In the case of peacekeeping operations, such guidance and support will be provided through the Department of Peacekeeping Operations;

(d) Advising the Secretary-General in giving overall political direction to post-conflict peace-building efforts and, to that end, providing guidance to United Nations programmes, funds and agencies;

(e) Preparing for the Secretary-General and his senior officials analytical briefs and in-depth studies, focused on emerging trends bearing on peace and security, with advice and/or recommendations, where appropriate, for possible action by the Organization;

(f) Contributing to activities of the United Nations system on issues of governance and democratization;

(g) Preparing briefing notes, background papers and talking points for the Secretary-General's meetings with representatives of Member States;

(h) Providing, in coordination with the Decolonization Unit, substantive support to the General Assembly, the Trusteeship Council and subsidiary organs of the General Assembly, including the Special Political and Decolonization Committee (Fourth Committee) and the Special Committee of 24;

(i) Preparing reports of the Secretary-General to the General Assembly and the Security Council;

(j) Maintaining and developing cooperation with the secretariats of regional organizations and arrangements through joint meetings, consultations, liaison and attendance at meetings held by them;

(k) Maintaining liaison, consulting and negotiating with Member States at Headquarters or in their capitals;

(l) Maintaining and expanding links with other United Nations departments and offices and other relevant institutes and experts;

(m) Maintaining contacts with non-governmental organizations and academic institutions worldwide and participating in seminars and academic meetings relating to the mandate of the Department.

Section 7
Policy Planning Unit

7.1 The Policy Planning Unit is headed by a Chief who is accountable to the Under-Secretary-General through the Chief of the Office of the Under-Secretary-General.

7.2 The core functions of the Policy Planning Unit are as follows:

(a) Coordinating the development of policy options, undertaking background research and drafting analytical papers and documents on cross-cutting issues or emerging questions relevant to the work of the Department;

(b) Organizing activities aimed at developing the Department's capacity with regard to its core activities of information collection, analysis, early warning, preventive action, peacemaking, and post-conflict peace-building;

(c) Developing systematic links with outside academic institutions, research centres, think tanks, foreign policy forums to strengthen the Department's policy formulation capacity, and organizing academic meetings on topical or substantive issues in collaboration with regional divisions;

(d) Supporting the efforts of regional divisions in the development of links with regional organizations and arrangements on relevant cross-cutting issues;

(e) Maintaining liaison with the Strategic Planning Unit in the Office of the Secretary-General and the Policy Analysis Unit in the Department of Peacekeeping Operations, as well as similar entities in other departments and United Nations agencies;

(f) Undertaking other ad hoc assignments, including substantive servicing of intergovernmental working groups related to the mandate of the Department, as well as drafting reports of the Secretary-General on relevant cross-cutting issues.

Section 8
Electoral Assistance Division

8.1 The Electoral Assistance Division is headed by a Director who is accountable to the Under-Secretary-General.

8.2 The core functions of the Division are as follows:

(a) Advising and assisting the Under-Secretary-General in his capacity as the focal point for United Nations electoral assistance activities;

(b) Reviewing requests for electoral assistance programmes and advising on their implementation;

(c) Coordinating and channelling to the appropriate agencies requests from Member States for electoral assistance;

(d) Coordinating and providing support to the activities of other international observers;

(e) Undertaking needs-assessment missions to determine the specific needs of a country requesting such assistance;

(f) Establishing an institutional memory to ensure consistency in the assistance rendered to Member States organizing elections;

(g) Developing and maintaining a roster of international experts who could provide technical assistance, as well as assistance in the verification of electoral processes;

(h) Maintaining contact with regional and other intergovernmental organizations to ensure appropriate working arrangements with them;

(i) Developing regional networks of electoral organizations as instruments for coordination of activities and for exchange of expertise at the regional level;

(j) Preparing the report of the Secretary-General to the General Assembly on the activities of the United Nations to enhance the effectiveness of the principle of periodic and genuine elections.

Section 9
Security Council Affairs Division

9.1 The Security Council Affairs Division is headed by a Director who is accountable to the Under-Secretary-General through one of the Assistant Secretaries-General.

9.2 The Division consists of four organizational units, namely, the Security Council Secretariat Branch, the Security Council Subsidiary Organs Branch, the Security Council Practices and Charter Research Branch and the Military Staff Committee Secretariat. Each branch is headed by a Chief who is accountable to the Director.

9.3 The core functions of the Security Council Secretariat Branch are as follows:

(a) Providing substantive support and secretariat services to the work of the Council, including formal meetings, the standing subsidiary organs of the Council dealing with matters of procedure, informal consultations and informal working groups;

(b) Maintaining necessary liaison with the members and non-members of the Council and other departments and offices in the Secretariat, as well as with organs and organizations of the United Nations system;

(c) Preparing the daily summaries of the Council's activities for the Secretary-General;

(d) Preparing the annual report of the Security Council to the General Assembly;

(e) Processing and issuing reports of the Secretary-General and communications received from the Secretary-General and Member and non-member States as Council documents;

(f) Handling and periodically issuing a list of official correspondence and communications received from non-governmental organizations and individuals relating to matters of which the Security Council is seized and in accordance with the appendix to the provisional rules of procedure of the Security Council.

9.4 The core functions of the Security Council Subsidiary Organs Branch are as follows:

(a) Providing substantive support and secretariat services to the subsidiary organs of the Security Council, including the Sanctions Committees;

(b) Drafting reports of subsidiary organs to the Security Council, as required;

(c) Preparing analyses and assessments of questions relating to the work of the Security Council or the subsidiary organs, as requested;

(d) Monitoring developments in the area of sanctions, including those relating to Article 50 of the Charter;

(e) Maintaining liaison with delegations and with other organizations of the United Nations system;

(f) Providing contributions to other departments and offices on issues related to the work of relevant subsidiary organs of the Security Council;

(g) Processing communications and applications received from States and organizations in connection with matters falling within the purview of the subsidiary organ concerned;

(h) Preparing studies on relevant articles of the Charter for the *Repertory of Practice of United Nations Organs*.

9.5 The core functions of the Security Council Practices and Charter Research Branch are as follows:

(a) Preparing analytical studies on the interpretation and application of the Charter of the United Nations and the provisional rules of procedure of the Security Council;

(b) Preparing the *Répertoire of the Practice of the Security Council*;

(c) Cooperating with the Office of Legal Affairs regarding the publication of the *Repertory of Practice of United Nations Organs* and contributing studies on the articles thereof relative to international peace and security;

(d) Undertaking studies on the provisional rules of procedure of the Security Council for the President and members of the Council, as well as for the Secretariat, as required.

9.6 The core functions of the Military Staff Committee Secretariat are as follows:

(a) Providing secretariat support and advice to the Military Staff Committee in the preparation for, conduct of and action arising from the Committee's meetings;

(b) Preparing studies on relevant articles of the Charter for the *Repertory of Practice of United Nations Organs*.

Section 10
Decolonization Unit

10.1 The Decolonization Unit is headed by a Chief who is accountable to the Under-Secretary-General through one of the Assistant Secretaries-General.

10.2 The core functions of the Decolonization Unit are as follows:

(a) Providing substantive support to the Special Committee of 24 and its visiting and other missions, as well as to the General Assembly, when they review issues relating to decolonization;

(b) Undertaking research and analytical studies and reporting on conditions in the 17 remaining Non-Self-Governing Territories;

(c) Providing assistance to the Special Committee in the preparation of its reports to the General Assembly;

(d) Collecting, reviewing and disseminating basic materials, studies and articles relating to decolonization;

(e) Promoting, in cooperation with the Department of Public Information, a publicity campaign on decolonization;

(f) Promoting flows of assistance from specialized agencies and institutions associated with the United Nations to the people in the Non-Self-Governing Territories;

(g) Providing the required substantive services to the Trusteeship Council and assisting in preparing the reports of the Trusteeship Council if it should meet, in accordance with its rules of procedure;

(h) Preparing studies on relevant articles of the Charter for the *Repertory of Practice of United Nations Organs*.

Section 11
Division for Palestinian Rights

11.1 The Division for Palestinian Rights is headed by a Chief who is accountable to the Under-Secretary-General through one of the Assistant Secretaries-General.

11.2 The core functions of the Division for Palestinian Rights are as follows:

(a) Providing substantive support and secretariat services for the Committee on the Exercise of the Inalienable Rights of the Palestinian People, its Working Group and its Bureau;

(b) Assisting the Committee in the exercise of its mandate and the promotion and implementation of its recommendations;

(c) Planning, organizing and servicing the Committee's programme of regional seminars, symposia and international meetings of non-governmental organizations, as well as consulting and maintaining liaison with such organizations which are active on the issue;

(d) Organizing the annual commemoration of the International Day of Solidarity with the Palestinian People;

(e) Preparing studies and publications relating to the question of Palestine and the inalienable rights of the Palestinian people;

(f) Promoting publicity for such studies and publications, in cooperation with the Department of Public Information;

(g) Establishing and continuing to develop a computer-based information system on the question of Palestine (UNISPAL).

Section 12
Executive Office

12.1 The Executive Office is headed by an Executive Officer who is accountable to the Under-Secretary-General through the Chief of the Office of the Under-Secretary-General.

12.2 The core functions of the Office are set out in section 7 of Secretary-General's bulletin ST/SGB/1997/5.

Section 13
Final provisions

13.1 The present bulletin shall enter into force on 1 June 2000.

13.2 Secretary-General's bulletin of 20 August 1998, entitled "Organization of the Department of Political Affairs" (ST/SGB/1998/14), is hereby abolished.

(*Signed*) Kofi A. **Annan**
Secretary-General

United Nations ST/SGB/2000/11

Secretariat

22 May 2000

Secretary-General's bulletin

Visa Committee*

The Secretary-General, for the purposes of defining the terms of reference of the Visa Committee, promulgates the following:

Section 1
Visa Committee

The Visa Committee is a standing advisory body constituted to assist staff members who are not United States nationals in obtaining from the United States of America, as host country, G-4 visas for their family members other than spouses and children under 21 years of age, and to assist staff members who are holders of G-4 visas in obtaining G-5 visas for household employees.

Section 2
Composition

2.1 The Visa Committee shall be composed of one chairperson, three members and three alternates, and one secretary. Appointments to the Committee shall be made by the Assistant Secretary-General for Human Resources Management. At least one member of the Committee shall be from the Office of Legal Affairs.

2.2 Appointments to the Visa Committee shall be for a two-year term, which may be extended to a third year.

Section 3
Functions

3.1 Under the authority of the Assistant Secretary-General for Human Resources Management, the Visa Committee shall examine requests from staff members who are not United States nationals for G-4 visas in respect of family members other than spouses or children under 21 years of age, and requests from staff members who are holders of G-4 visas for G-5 visas for household employees.

3.2 The Visa Committee shall consider visa requests in the light of the laws of the host country, and in accordance with the applicable administrative instruction on G-4 and G-5 visas.

3.3 The Visa Committee shall ensure that the staff member requesting a visa is informed of the applicable laws and requirements of the host country. The staff member must sign a written undertaking that he or she will comply with those laws and requirements and submit, in a timely manner, documents attesting to entry and exit of the visa holder, as required by law. A request for a G-5 visa must also be accompanied by a proposed employment contract, which includes conditions of service that comply with United States law. The Visa Committee will supply staff members with model employment contracts, which must be completed by both parties to the employment contract and be submitted prior to the issuance of the G-5 visa. No request for visa may be endorsed without the above-mentioned documentation.

3.4 On the basis of the documentation provided by the staff member, and once the Committee is satisfied that all the relevant conditions are fulfilled, the Visa Committee shall recommend to the Assistant Secretary-General for Human Resources Management whether the request should be endorsed.

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3.5 Endorsed requests shall be transmitted by the Secretary of the Visa Committee to the United States Mission to the United Nations.

Section 4
Final provisions

The present bulletin shall enter into force on 1 June 2000.

(*Signed*) Kofi A. **Annan**
Secretary-General